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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

David W. LaFore, et al.

Serial No.: 09/853,986

Filed: May 11, 2001

Atty. File No.: 7103-1-CIP

For: "DATA PROCESSING SYSTEM AND  
METHOD FOR MANAGING BROKER  
TRANSACTION INFORMATION"

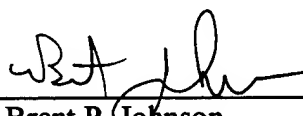
Commissioner of Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to Applicant's duty of disclosure under 37 CFR § 1.56 and 37 CFR §§ 1.97-1.98, Applicant hereby provides an Information Disclosure Statement. Copies of the references are not provided herewith as copies were previously submitted with the parent application, Serial No. 09/497,272, filed on February 3, 2000. Enclosed is the PTO Form 1449; although Applicant does not admit that any of such documents, alone or in any combination, is considered to be material to patentability as defined in 37 CFR § 1.56(b). Moreover, the submission of this IDS is not to be construed as an admission by Applicant that each such document is prior art as to the above-identified patent application.

Respectfully submitted,

SHERIDAN ROSS P.C.

By:   
Brent P. Johnson  
1560 Broadway, Suite 1200  
Denver, Colorado 80202-5141  
(303) 863-9700

Date: 7/27/01

Art Unit: 2164

INFORMATION DISCLOSURE  
STATEMENT

CERTIFICATE OF MAILING

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING  
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SHERIDAN ROSS P.C.

BY:





FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO. 7103-1-CIP	SERIAL NO. 09/853,986
	APPLICANT David W. LaFore, et al.	
	FILING DATE May 11, 2001	GROUP ART 2164

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROP.
	AA	5,193,056	03/09/93	Boes	364	408	03/11/90
	AB	5,864,685	01/26/99	Hagan	364	235	02/26/94
	AC	5,918,217	06/29/99	Maggioncalda, et al.	705	36	12/10/97

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	AD							
	AE							

## OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	AF	
	AG	
	AH	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	